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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE
BEFORE THE BOARD OF PATENT APPEALS

Appellants:	Michael D. Stapf	APPEAL BRIEF
Serial No.	09/291,535	
Filing Date	April 14, 1999	
Group Art Unit	2122	
Examiner	C. Das	
Attorney Docket No.	100.113US01 (formally 500.720US01)	
Title: Interface For An Enterprise Resource Planning Program		RECEIVED

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Technology Center 2100

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1. Introduction

On February 10, 2003, Appellants filed a notice of appeal from the final rejection of claims 1-26 set forth in the Advisory Action mailed May 15, 2003. Three copies of this Appeal Brief are hereby timely filed on September 22, 2003, and are accompanied by a fee in the amount of \$1,770.00 as required under 37 C.F.R. §1.17(c) (including required extension fees).

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2. Real Party in Interest

The real party in interest in the above-captioned application is the assignee ADC Telecommunication Inc.

3. Related Appeals and Interferences

There are no other appeals or interferences known to Appellants that will have a bearing on the Board's decision in the present appeal.

4. Status of the Claims

Claims 1-26 are pending in the application. Claims 1-26 are subject of this appeal. In an Advisory Action mailed May 15, 2003 and a Final Office Action mailed September 10, 2002, Claims 1-26 were rejected under 35 U.S.C. §103(a).

5. Summary of the Amendments

No amendments have been made after the Final Office action.

6. Summary of the Invention

In one embodiment, a method for interfacing with an enterprise resource planning system 100 is disclosed, the method comprises providing a file 108 containing data to be loaded into the enterprise planning system (the "data file 108"). Creating a file containing at least one parameter 110 (the "parameter file 110"), wherein the parameter file 110 maps data from the data file 108 to screens 103, 104 and 106 of the enterprise resource planning system 100 and processing each record in the data file 108 according to the parameters in the parameter file 110 to execute screens 103, 104 and 106 of the enterprise resource planning system 100 so as to provide the data from the

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data file 108 to the enterprise resource planning system 100. Figure 1 of the present application illustrates a data flow diagram that includes the screens 103, 104 and 106 of the Enterprise Resource system 100, parameter file 110 and data file 108 of one embodiment of the present invention. Figure 1 is described on pages 4 -13 of the present application. Figure 2, is a flow chart illustrating a method of one embodiment of the present invention. Figure 2 is discussed on pages 14 through 16 of the present application.

In another embodiment, another method for providing data to an Enterprise Resource Planning system 100 is disclosed. The method comprises opening a parameter file 110 containing a plurality of parameters, opening an associated data file 108 containing a plurality of records wherein the parameter file maps data from the data file 110 to screens 103, 104 and 106 of the Enterprise Resource Planning system 100. For each record in the data file 108, creating commands based on the plurality of parameters and executing the commands to provide the data from the data file to the Enterprise Resource Planning system 100. Figure 1 of the present application illustrates a data flow diagram that includes the screens 103, 104 and 106 of the Enterprise Resource system 100, parameter file 110 and data file 108 of one embodiment of the present invention. Figure 1 is described on pages 4 -13 of the present application. Figure 2, is a flow chart illustrating a method of one embodiment of the present invention. Figure 2 is discussed on pages 14 through 16 of the present application

In yet another embodiment, a computer-readable medium encoded with a computer program for execution by a processor to perform a method is disclosed . The method comprises opening a parameter file 110 containing a plurality of parameters. Opening an associated data file 108 containing a plurality of records. For each record in the data file 108, creating commands based on the plurality of parameters 110 and executing the commands to provide the data from the data file to an Enterprise Resource Planning system 100. Figure 1 of the present application illustrates a data flow diagram that includes parameter file 110 and data file 108 of one embodiment of the present

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invention. Figure 1 is described on pages 4 -13 of the present application. Figure 2, is a flow chart illustrating a method of one embodiment of the present invention. Figure 2 is discussed on pages 14 through 16 of the present application. In addition, Figure 3A through 3E are screen shots of a process for an interface for an enterprise resource planning program according to the teachings of the present invention. Moreover, Figure 4 is a block diagram of a computer system having an interface for an enterprise resource planning program according to the teachings of the present invention. Figure 3A through 3E are described on pages 16 through 20 and Figure 4 is described on pages 20 through 21.

7. Issues Presented for Review

The questions presented in this Appeal is whether the Examiner erred in rejecting Claims 1-10, 13-14, 16-21, 23-26 under 35 U.S.C. §103(a) as being unpatentable over Geller et al. (US Patent No. 5,844, 554) and Claims 11-12, 15 and 22 under 35 U.S.C. §103(a) as being unpatentable over Geller et al in view of Glowny (U.S. Patent No. 5,805,897).

8. Grouping of Claims

Although, each of claims 1-26 stand or fall on their own merits, Applicant has focused this appeal mainly on the 35 U.S.C. §103(a) rejections of independent Claims 1, 13 and 20 as being unpatentable over Geller et al. for brevity reasons. The rejection of claims 11-12, 15 and 22 under 35 U.S.C. §103(a) as being unpatentable over Geller et al. in view of Glowny is also briefly addressed.

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9. Argument

A. Scope and Content of Prior Art

In regards to the rejection of independent claims 1, 13 and 20 under 35 U.S.C. §103(a), the Examiner cited Geller et al, US Patent No. 5,844,554. The Geller et al. reference relates to method and systems for creating a user interface and handling constraints in a product configurator computer program.

In regards to Glowny (U.S. Patent No. 5,805,897), the reference used in the 35 U.S.C. §103(a) rejection of Claims 11-12, 15 and 22, the Glowny reference relates to a system and method for remote software installation and maintenance.

B. Rejection of Claims 1-26 under 35 U.S.C. §103(a)

i. The Applicable Law

35 U.S.C. § 103 provides in relevant part:

Conditions for patentability; non-obvious subject matter.

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

"The ultimate determination . . . whether an invention is or is not obvious is a legal conclusion based on underlying factual inquiries including: (1) the scope and content of the prior art; (2) the level of ordinary skill in the prior art; (3) the differences between the claimed invention and the prior art; and (4) objective evidence of

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nonobviousness." *In re Dembiczak*, 175 F.3d 994, 998, 50 USPQ2d 1614, 1616 (1999) (citing *Graham v. John Deere Co.*, 383 U.S. 1, 17-18, 148 USPQ 459, 467 (1966)).

When applying 35 U.S.C. §103, the claimed invention must be considered as a whole; the references must be considered as a whole and must suggest the desirability and thus the obviousness of making the combination; the references must be viewed without the benefit of impermissible hindsight vision afforded by the claimed invention and a reasonable expectation of success is the standard with which obviousness is determined. *Hodosh v. Block Drug Co., Inc.*, 786 F.2d 1136, 1143 n.5, 229 USPQ 182, 187 n.5 (Fed. Cir. 1986).

To establish a *prima facie* case of obviousness, three basic criteria must be met. First, there must be some suggestion or motivation, either in the references themselves or in the knowledge generally available to one of ordinary skill in the art, to modify the reference or to combine reference teachings. Second, there must be a reasonable expectation of success. Finally, the prior art reference (or references when combined) must teach or suggest all the claim limitations. MPEP 2143

The teaching or suggestion to make the claimed combination and the reasonable expectation of success must both be found in the prior art, not in applicant's disclosure. MPEP 2143 citing *In re Vaeck*, 947 F.2d 488, 20 USPQ2d 1438 (Fed. Cir. 1991).

ii. 35 U.S.C. §103(a) rejection analysis

The Examiner finally rejected Claims 1, 13 and 20 under 35 U.S.C. §103(a) as being unpatentable over Geller et al. U.S. patent No. 5,844,554. Specifically, the Examiner asserts that:

- (1) Geller teaches parameter file for mapping data from a data file to screens on ERP system (column 4 line 40-46), the parameters

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are associated with the product configurator in a hierarchical arrangement and when the developer selects one of the parameters from the hierarchy, a constrained list icons is displayed in association with the selected parameter (column 4 line 47-49), where “the parameters are associated with the product configurator” means parameters map with the data of the data files because the data fields are within the configurator program (column 4 line 19-20, “a data file containing this information for usage within the cnfigurator [sic] file”).

(2) Geller teaches executing screens to provide data from the data file to an ERP system (column 4 line 40-46, “parameters associated with the product configurator in a Hierarchical arrangement in memory of the computer running the developer environment. The parameters are displayed in a “parameter explorer” window, which can be invoked at any time to allow creation and odificaiton of the parameters underlying the configurator”), “parameters are displayed in a “parameter explorer” window”, shows “executing screens”, without executing the screen the parameters cannot display in a window. And further in figure 35 “executing win95 tool command (3512)”, “executing system tool command (3517)” and “executing parameter control command (4000)” shows that executing screens to creation and modification of the parameters underlying the configurator (data form the data file).

(3) Geller teaches loading the data into the ERP system (column 8 line 24) and (column 8, line 51-54, “The executable configuration software 10 is operative to execute SQL quires on any ERP data uploading configuration software for running (i.e., at run time) “), the data file is within the configuration program is shown in (Column 4 line 19-20).

(4) Geller does not specifically disclose processing each record. Official notice is taken in processing each record in the file is well known in the art. It would have been obvious to one of the ordinary skill in the art at the time of the invention was made for processing each record because one of the ordinary skill in the art would be motivated to receive the output of each input separately to ensure the accuracy and consistency of the selection of the parameters.

(5) Geller discloses opening a parameter file and an associated data file (Abstract line 5-8,” Methods are disclosed for creating and maintaining the logic for a configuration program module in

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the form of configuration parameters;”), creating and maintaining the configuration program (data file) and parameters shows the opening a parameter file and as associated data file, because the data file resides inside the configuration program (column 4 line 19-20).

(6) Geller discloses creating commands based on the parameters and the data retrieved records (Abstract line 5-14, “Methods are disclosed for creating and maintaining the logic for a configuration program module in the form of configuration parameters; creating and maintaining the visual controls and user interface; and linking created visual controls with underlying structure represented by the parameters. Parameters assume values and are indicated as valid or invalid through operation of constraints and queries. Further methods include display of parameter creation and selection windows”) where creating logic for a configuration program module in the form of configuration parameter shows that a creating commands based on the parameters and the data for maintaining visual control (retrieved records) as claimed. The logic (command) is creating to link (map) the visual control (which is the part of configuration program (column 18, line 30-31), i.e. data in the data file) with the structure represented by the parameters.

Claims 1, 13 and 20 of the present application are as follows:

1. A method for interfacing with an enterprise resource planning system, the method comprising:
 - providing a file containing data to be loaded into the enterprise planning system (the “data file”);
 - creating a file containing at least one parameter (the “parameter file”), wherein the parameter file maps data from the data file to screens of the enterprise resource planning system; and
 - processing each record in the data file according to the parameters in the parameter file to execute screens of the enterprise resource planning system so as to provide the data from the data file to the enterprise resource planning system.

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13. A method for providing data to an Enterprise Resource Planning system, the method comprising:

opening a parameter file containing a plurality of parameters;

opening an associated data file containing a plurality of records;

wherein the parameter file maps data from the data file to screens of the Enterprise Resource Planning system;

for each record in the data file, creating commands based on the plurality of parameters; and

executing the commands to provide the data from the data file to the Enterprise Resource Planning system.

20. A computer-readable medium encoded with a computer program for execution by a processor to perform a method comprising:

opening a parameter file containing a plurality of parameters;

opening an associated data file containing a plurality of records;

for each record in the data file, creating commands based on the plurality of parameters; and

executing the commands to provide the data from the data file to an Enterprise Resource Planning system.

Claims 1, 13 and 20 should not have been rejected under 35 U.S.C. §103(a) as being unpatentable over Geller et al. for the reasons set out below.

The present application discloses and claims an improved interface for an enterprise resource planning (ERP) system. As stated in the Background of the present application, the problem the present application is addressing is “loading or interfacing the ERP systems with data from existing systems, so-called ‘legacy data.’” See Page 1, Line 21-22. The present application discloses and claims a solution to the problem

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addressed. In particular, the present application discloses and claims methods of providing data from a data file to an ERP system. Please see the last limitation of independent claims 1, 13 and 20, the drawings and the specification of the present application. In addition, the present application discloses and claims parameter files that maps data to the ERP system. See Claims 1, 13 and 20, the drawings and specification of the present application. Moreover, independent claims 1 and 13 further include the element, wherein the parameter file maps data from the data file to **screens** of the enterprise resource planning system.

The Examiner has maintained that the Geller et al. reference teaches what is disclosed and claimed in the present application. However, the Geller et al. reference relates to the accessing of data stored in an enterprise resource planning (ERP) database **not** providing data to the ERP system as is disclosed and claimed in the present application. As stated in Column 8, Lines 23-26 of the Geller et al. reference, “[i]n accordance with the invention, however, data stored in the ERP database 21 can be accessed via SQL queries and incorporated as tables stored locally on the salesperson’s laptop computer.” Moreover, the Geller et al reference at Column 8, Lines 18-23 explicitly states “[t]he ERP database 21 is maintained by a separate enterprise resource planning (ERP) application program 22, **which forms no part of the present invention**. The enterprise’s ERP applications are responsible for keeping the ERP database 21 updated with current information such as product configuration data.” (*emphasis added*) Accordingly, the Geller et al. reference does not teach, disclose or suggest alone or in combination what is disclosed and claimed in Claims 1, 13 and 20 of the present application.

In light of the above, each parameter disclosed in the Geller et al. reference “correspond to a data object variable or field. It is used to contain, save, calculate, compare and display information.” See Column 10, line 64 through Column 11, Line 2 of the Geller et al reference. The parameters of the Geller et al. reference relate to

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product searches in the ERP **not** to mapping data into the ERP as is disclosed and claimed in the present application. Referring to the Geller et al. reference at Column 18, Lines 19-36, the Geller et al. reference states in part “[t]he data requirements will consist of the parameters needed to completely specify the full range of product configurations, plus additional parameters to hold and display lookup information such as features and prices. ... As explained previously, a parameter is like a variable or a field. It is used to contain, save, calculate, compare, and display information. ... The structure of the data represented by the parameters should parallel the product being configured.” For example, a parameter of the Geller et al. reference may be an engine available in certain model automobiles or interior features. Please refer to Column 3, lines 27-39 of the Geller et al. reference. In contrast, the present application discloses and claims parameter files that are used to map data to the ERP system for a particular transaction. See Page 4, line 24 through Page 10 line 15 of the present application. Moreover, examples of general parameters of a parameter file of one embodiment of the present invention, is illustrated in Table 2 starting on page 6 of the present application. This is not what is disclosed, claimed or suggested in Geller et al. reference.

In further detail, the Applicant respectfully submits that Geller et al., column 4, lines 19-21 cited by the Examiner as teaching this element does not teach a file containing data to be loaded into the enterprise resource planning system. *See, e.g.*, Geller et al., column 4, lines 11-28. The Examiner additionally maintains that Geller et al. column 8, line 24 teaches the element of data to be stored (loaded) into the enterprise planning system. Applicant respectfully disagrees and maintains that the full sentence from Geller et al. column 8, lines 24-26, “In accordance with the invention, however, data stored in the ERP database 21 can be accessed via SQL queries and incorporated as tables stored locally on the salesperson’s laptop computer 12”, appears to show that Geller et al. accesses data already in an ERP database and does not store data into the ERP database from another source, e.g., legacy data. Moreover, The Examiner admits

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that Geller et al. does not teach processing each record. The Applicant respectfully submits that Geller et al. does not teach this element of Claim 1 because it does not address the problem of loading data in to an ERP system.

Therefore for the above reasons, Applicant respectfully asserts that independent Claims 1, 13 and 20 are patentably distinct from the Geller et al reference and the Examiner was incorrect in rejection Claims 1, 13 and 20 under 35 U.S.C. §103(a). Accordingly, Applicant respectfully requests the withdrawal of the rejection of Claims 1, 13 and 20 under 35 U.S.C. §103(a). Moreover, since Dependant Claims 2-12, 14-19, and 21-26 depend from and further define their respective independent Claims 1, 13 or 20, Applicant further asserts that Claims 2-12, 14-19 and 21-26 are patentably distinct and respectfully request the withdrawal of their rejection under 35 U.S.C. §103(a).

In addition, The Examiner was incorrect in rejecting Claims 11-12, 15 and 22 under 35 U.S.C. §103(a) as being unpatentable over Geller et al. (U.S. Patent No. 5,844, 554) in view of Glowny (U.S. Patent No. 5,805,897). Claims 11-12, 15 and 22 are reproduced in Appendix 1. The Applicant submits that the further addition of Glowny to the rejections of claim 1, 13, and 20 add no disclosure or teaching that allow the combination to overcome the lack in the cited art of a recitation of all of the elements of the claims. As such, a *prima facie* case of obviousness has not been met with respect to Claims 11-12, 15 and 22, and those claims are believed allowable. The Applicant also submits that as Glowny applies to remote software installation and maintenance, and not an enterprise resource planning system, it is non-analogous art and one skilled in the art would not have been motivated to incorporate it. Applicant respectfully contends that claims 11-12, 15 and 22 as pending have been shown to be patentably distinct from the cited reference. Accordingly, Applicant respectfully requests reconsideration and withdrawal of the rejection under 35 U.S.C. § 103(a) and allowance of Claims 11-12, 15 and 22.

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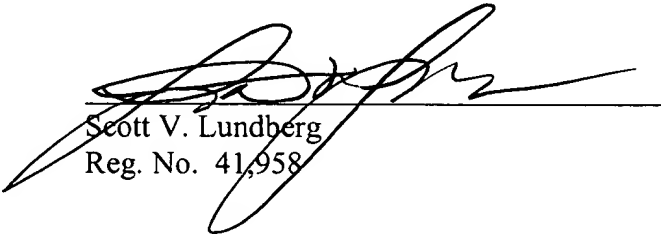
Since, the teaching or suggesting requirement of each limitation for a 103 rejection has not been met, a *prima facie* case for obvious has not been shown by the Examiner.

10. Summary

Appellants have set forth reasons why the Examiner is incorrect in maintaining the rejections of the pending claims. Specifically, the Examiner has failed to set forth a *prima facie* case of anticipation or obviousness. The Geller et al. reference nor the Glowny reference teach all the limitations in the pending independent and dependant claims. Appellant respectfully submits that, for the above reasons, Claims 1-26 are allowable over the cited art, either alone or in combination. Therefore, reversal of the Examiner's rejections are respectfully requested.

Respectfully submitted,

Date: 9-22-03



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Appendix 1

Claims on Appeal

1. A method for interfacing with an enterprise resource planning system, the method comprising:
 - providing a file containing data to be loaded into the enterprise planning system (the “data file”);
 - creating a file containing at least one parameter (the “parameter file”), wherein the parameter file maps data from the data file to screens of the enterprise resource planning system; and
 - processing each record in the data file according to the parameters in the parameter file to execute screens of the enterprise resource planning system so as to provide the data from the data file to the enterprise resource planning system.
2. The method of claim 1, wherein providing the file containing data comprises extracting the data from an legacy system.
3. The method of claim 1, wherein creating a file containing at least one parameter includes creating a file that also includes conditional logic associated with the parameters.
4. The method of claim 1, wherein creating a file containing at least one parameter comprises creating a file with a text editor.
5. The method of claim 1, wherein creating a file containing at least one parameter comprises creating a file with at least one parameter that includes a transaction code, a

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screen identification code, a screen number, and a field name associated with the enterprise resource planning system and a field location value and a field length associated with the data file.

6. The method of claim 1, wherein processing each record in the data file comprises:

- retrieving a record from the data file;
- retrieving parameters from the parameter file;
- creating commands for the enterprise resource planning system based on the parameters and the data in the retrieved record; and
- executing screens of the enterprise resource planning system based on the created commands.

7. The method of claim 6, wherein retrieving parameters includes retrieving conditional logic parameters.

8. The method of claim 1, and further recording errors when executing screens of the enterprise resource planning system.

9. The method of claim 1, and further recording in an audit file a result for each record of the data file.

10. The method of claim 1, and further comprising transmitting results of a run of the method to at least one e-mail address.

11. The method of claim 1, and further selectively ceasing processing the records in the data file.

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12. The method of claim 1, and further comprising restarting the processing of records in the data file at a point in the data file corresponding to a last record processed during a prior execution of the method with the data file.

13. A method for providing data to an Enterprise Resource Planning system, the method comprising:

opening a parameter file containing a plurality of parameters;

opening an associated data file containing a plurality of records;

wherein the parameter file maps data from the data file to screens of the Enterprise Resource Planning system;

for each record in the data file, creating commands based on the plurality of parameters; and

executing the commands to provide the data from the data file to the Enterprise Resource Planning system.

14. The method of claim 13, wherein opening a parameter file comprises opening a parameter file that includes conditional parameters.

15. The method of claim 13, wherein opening a parameter file comprises opening a parameter file that includes a restart option.

16. The method of claim 13, and further recording in an audit file a result for each record of the data file.

17. The method of claim 13, and further comprising transmitting processing results to at least one e-mail address.

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18. The method of claim 13, wherein creating commands based on the plurality of parameters comprises creating commands based on the plurality of parameters and at least two associated records.
19. The method of claim 13, wherein opening a parameter file comprises opening a parameter file that includes parameters that each have a transaction code, a screen identification code, a screen number, and a field name associated with the enterprise resource planning system and a field location value and a field length associated with the data file.
20. A computer-readable medium encoded with a computer program for execution by a processor to perform a method comprising:
- opening a parameter file containing a plurality of parameters;
 - opening an associated data file containing a plurality of records;
 - for each record in the data file, creating commands based on the plurality of parameters; and
 - executing the commands to provide the data from the data file to an Enterprise Resource Planning system.
21. The computer readable medium of claim 20, wherein opening a parameter file comprises opening a parameter file that includes conditional parameters.
22. The computer readable medium of claim 20, wherein opening a parameter file comprises opening a parameter file that includes a restart option.
23. The computer readable medium of claim 20, and further recording in an audit file a result for each record of the data file.

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24. The computer readable medium of claim 20, and further comprising transmitting processing results to at least one e-mail address.
25. The computer readable medium of claim 20, wherein creating commands based on the plurality of parameters comprises creating commands based on the plurality of parameters and at least two associated records.
26. The computer readable medium of claim 20, wherein opening a parameter file comprises opening a parameter file that includes parameters that each have a transaction code, a screen identification code, a screen number, and a field name associated with the enterprise resource planning system and a field location value and a field length associated with the data file.